

REGULATION  
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MANAGEMENT PROGRAMS  
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## RECORDS MANAGEMENT

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## CONTENTS

RECORDS MANAGEMENT.....	
REPORTS MANAGEMENT.....	
CORRESPONDENCE MANAGEMENT.....	
FORMS MANAGEMENT.....	
FILE STANDARDS.....	
RECORDS SYSTEMS.....	
RECORDS DISPOSITION.....	
VITAL MATERIALS.....	

### 1. GENERAL

This Regulation establishes basic policies and responsibilities for administering the Agency Records Management Program. Its requirements are in agreement with the Federal Records Act of 1950 (Public Law 754, 81st Congress) and other applicable statutes and regulations.

### 2. OBJECTIVE

Records Management is controlling and improving records from their creation or receipt to their disposition, with resultant economies in manpower, supplies, equipment, space, time and money.

### 3. POLICIES

The Agency Records Management Program shall be administered on a decentralized basis through area programs governed by the policies outlined under the inspection program functions.

*RESPECTIVE*

### 4. RESPONSIBILITIES

a. The Chief, Management Staff, is responsible for:

- (1) Directing and coordinating the Agency Records Management Program by providing basic plans, policies, and procedures, and staff guidance for their application to area programs.
- (2) Conducting operational audits of area programs to promote their effectiveness.

STAT

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

- (3) Providing, in collaborating with the Director of Training facilities (including instructional and training media) for the guidance, indoctrination and technical training in the program functions.
- b. The Deputy Director (Plans), (Intelligence), and (Support) or their designees are responsible for:
  - (1) Establishing and maintaining area programs to meet the requirements of this Regulation.
  - (2) Rendering such reports as may be required.
  - (3) Designating in writing to the Chief, Management Staff and Area Records Officer who will have the responsibility for maintaining the area program.

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

## REPORTS MANAGEMENT

### 5. POLICIES

The Agency Reports Management Program shall be governed by the following policies:

- a. Report Directives. Requirements for reports shall be in writing.
- b. Creation Control. The following controls shall be maintained:
  - (1) Each existing and proposed reporting requirement shall be approved by the Reports Control Authority of the component which originated the requirement.
  - (2) Each approved requirement shall be assigned a reports control symbol by the approving Reports Control Authority. Reports control symbols shall be cited in report directives and in reports submitted accordingly. The chief of a component receiving a report directive after 1955 which does not cite a symbol for a recurring report shall refer the matter to the Reports Control Authority of the component which originated the requirement.
  - (3) Existing sources of information shall be publicized through published lists of current recurring reporting requirements.
- c. Reappraisals. Existing reports approved in accordance with this regulation shall be reappraised at least annually. New or revised reports shall be reappraised initially within three months after submission of the first report and annually thereafter. Responsibility for reappraisals rests with Reports Control Authorities at both the requiring and preparing levels.

### 6. RESPONSIBILITIES

- a. The Chief, Management Staff, is responsible for:
  - (1) Maintaining a record of the types of recurring administrative or management reports submitted:
    - (a) On a Headquarters-wide basis.
    - (b) From or to field stations.
    - (c) From or to organizations outside the Agency.

REGULATION  
NO.

R   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

STAT

- (2) Publishing lists of reports included in paragraph (1) above.
  - (3) Conducting studies of reporting requirements and systems of Agency or Headquarters-wide significance, and serving as arbitrator in resolving conflicting views on reports matters.
- b. Reports Control Authorities shall provide the Management Staff with current lists of area reporting requirements and such supporting material as the Management Staff may require to carry out its Program responsibilities.

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

## CORRESPONDENCE MANAGEMENT

### 7. POLICIES

The Agency Correspondence Management Program shall be governed by the following policies:

- a. Correspondence shall be answered or acknowledged as soon as feasible, preferably within five working days from its receipt. However, when it can be reasonably assumed that the correspondent anticipates a delay in receiving a reply, an acknowledgment should be waived in favor of expending the effort on a full reply. Congressional correspondence shall be answered or acknowledged within three working days from its receipt by the Agency.
- b. The standards of HB  Correspondence Style and Procedures, shall be applied as extensively as possible to provide the uniformity essential to efficient correspondence operations.
- c. Form and pattern correspondence and correspondences shall be used whenever practical to simplify the preparation of repetitive correspondence.
- d. Handwritten notes or personal contacts should supplant correspondence whenever possible.
- e. The transmittal of self-explanatory forms, reports, and publications by nonessential correspondence shall be avoided. Consideration shall be given to the design or composition of documents to provide for their transmission without covering correspondence.
- f. Provision shall be made whenever possible for indicating concurrences and approvals on basic documents to obviate the preparation of additional correspondence.
- g. The preparation of nonessential copies shall be avoided. Headquarters addressees who have not indicated a need for courtesy copies should not be furnished them. Courtesy copies are not required for addressees outside the Agency except members of Congress and officials of other Federal agencies.

STAT

STAT

REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

h. Measures shall be taken to determine and correct individual writing weaknesses.

8. RESPONSIBILITIES

a. The Chief, Management Staff, is responsible for:

- (1) Developing and maintaining publications on Agency correspondence style and procedures.
- (2) Collaborating with the Director of Training in providing guides to effective writing.
- (3) Reviewing and approving requests for nonstocked stenographic and typing equipment and supplies.

9. PROCEDURE

Requests for stenographic and typing equipment and supplies not available as stock items shall be submitted to the Logistic Office through the Chief, Management Staff (Attn: Chief, Records Management Division), with complete justifications for the nonstocked items.

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

STAT

## FORMS MANAGEMENT

### 10. POLICIES

The Agency Forms Management Program shall be governed by the following policies:

- a. New forms, revisions to existing forms, standard forms and forms of other agencies will not be procured or produced without authorization in accordance with this regulation.
- b. Existing nonessential forms, or those which require wasteful operations, shall be eliminated or corrected.
- c. Forms performing the same or related functions shall be consolidated and the scope of usage for each form extended insofar as is practicable.
- d. Modern analytic and design techniques shall be utilized to simplify, standardize and improve Agency forms.
- e. Related forms, procedures and regulatory issuances shall be integrated.
- f. Forms shall be systematically and periodically reviewed to control quality and quantity as well as to identify and solve functional and organizational problems.

### 11. RESPONSIBILITIES

- a. ~~Forms Management Branch~~. The Chief, Management Staff is responsible for:

- (1) Reviewing, analyzing, recording and approving or disapproving continued use of existing or installation of proposed, Agency forms and forms of other Government agencies.
- (2) Registering, identifying and designing forms; developing specifications, and recommending production methods, procurement sources, storage and distribution practices.
- (3) Keeping informed of new developments in the forms management and related technical fields.
- (4) Maintaining official records of the coordination and approval of forms; providing a central source of reference and technical consultation services; and publishing periodically, numerical, alphabetical and functional forms indexes.

REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

- (5) Maintain Agency liaison on forms management matters with Federal and private organizations.

12. PROCEDURES

a. New and Revised Forms

- (1) Prior to requesting a new or revised form the requester shall review the current CIA Notice listing all forms used by the Agency or contact the Forms Management Branch  where samples of all approved forms are available, to determine whether or not an existing Agency, Standard or other Government Agency form will serve the purpose.
- (2) If an existing form cannot be used, prepare and forward, through the appropriate Area Records Officer, to the Forms Management Branch, the following:
- (a) A rough draft of the proposed form.
  - (b) Form No. 30, Request for Approval of Form (in duplicate) completed in detail and signed by a responsible official of the requesting office such as a Section, Branch or Division Chief.
  - (c) Form 36-2 (to be redesignated Form No. 70) Reproduction Requisition (see par. 5a(1) R )
  - (d) One copy, if applicable, of the coordinated, proposed Regulatory or intra-office issuance or procedural instruction, prescribing or implementing the form's use.
- (3) In initiating requests for supplies of new and revised forms, provide sufficient lead time for production or procurement; 30 days for production on Agency facilities, 60-90 days for procurement from the Government Printing Office; and 120 days for speciality forms produced by commercial sources.

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b. Reprinting and Overprinting Existing Forms

If an existing form is to be reprinted or overprinted, forward Form 36-2 (to be redesignated Form No. 70) Reproduction Requisition, as provided above. (If the form bears the old style form number consisting of a prefix and secondary number, also forward Form No. 30, Request for Approval of Form).

STAT

c. Forms Supply System

- (1) Obtain widely used forms from Building Supply Rooms.



REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-7-55

STAT

STAT

- (2) For forms not stocked by Building Supply Rooms, submit a Form No. 88, Requisition and Shipping Instruction for Supplies and Equipment.
- (3) Offices of primary interest will maintain supplies of forms which are not to be stocked by the Supply Division.

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-9-55

STAT

### FILE STANDARDS

#### 13. POLICIES

The Agency File Standards Program will be governed by the following policies:

##### a. File Systems and Procedures

- (1) Similar records shall be maintained under uniform file systems and procedures adapted to the individual programs and types of material.
- (2) File stations shall be realistically located so as to ensure adequate reference service.
- (3) Related papers shall be maintained with official record copies of documents and filed by a system and at a file location that will assure proper documentation of the organization, functions, policies, procedures and essential transactions of the Agency.
- (4) Establishment of duplicate files shall be avoided.

##### b. File Equipment - Letter and Legal Size

- (1) Non-safe type cabinets - Purchase will be limited to 5 drawer cabinets without locks and equipped with guide rods.
- (2) Safe Cabinets - Procurement will be limited to 2 and 4 drawer cabinets with guide rods and of a standard and type to meet the security requirements of the agency.
- (3) Maximum utilization of file cabinets is to be obtained by:
  - (a) Transfer inactive records to the Agency Records Center.
  - (b) Disposing of records in accordance with Record Control Schedules established through the Records Management Division, Management Staff.
  - (c) Removing office supplies, and other nonrecord material from filing cabinets.
  - (d) Using letter size cabinets when less than 20% of the material to be filed is of legal size.
  - (e) Centralizing files in vault areas, where feasible, to permit use of non-safe type cabinets.

REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-9-55

STAT

STAT

- (f) Using non-safe type cabinets without lock for unclassified records.
- (4) A report of filing equipment showing accretions and total in use by type will be made annually as of the end of each fiscal year.

c. File Supplies

- (1) Folders - Letter and legal size records, except as provided for in (2) below, will be maintained in kraft, square cut, plain tab reinforced, 11 point file folders with fasteners in suitable positions.
- (2) Folders, Heavy Duty - Letter and legal size records, subject to usage that would necessitate replacement of 11 point kraft folders during the active life of the records, will be maintained in pressboard folders with metal tabs third cut, slot punched in 1st and 3rd positions, and linen "W" type expansion gussets.
- (3) Guides - The file guide used for letter and legal size records will be pressboard, with angular metal tabs, 1/3 cut with lower projection.

14. RESPONSIBILITIES

a. The Chief of Management Staff is responsible for:

- (1) Developing standards for Agency file procedures, systems, equipment and supplies and maintaining necessary related publications.
- (2) Reviewing and approving requests for nonstandard file equipment and supplies.
- (3) Maintaining Agency liaison on file standards with other Federal and private organizations.

b. The Director of Logistics is responsible for restricting the procurement and issuance of filing equipment and supplies in accordance with the requirements of this regulation.

REGULATION  
NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-9-55

STAT

15. PROCEDURES

- a. File Guides and Folders (11 point kraft) - Available from Building Supply Offices without requisition.
- b. Heavy Duty Folders - Submit Form No. 88, Requisition and Shipping Instructions for Supplies and Equipment bearing the following certification signed by the person responsible for the Area Records Management Program:

"These folders are needed because the frequent reference requirements of the file would necessitate replacement of the standard 11 point kraft folders during the active life of the records."

- c. Letter and Legal Size Filing Cabinet - Submit Form No. 88, Requisition and Shipping Instructions for Supplies and Equipment bearing the following certification signed by the person responsible for the Area Records Management Program:

"This certifies that this office has complied with the utilization provisions of Section 13, paragraph 3 of Regulation

STAT

STAT

REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-10-55

STAT

STAT

## RECORDS SYSTEMS

### 16. POLICIES

Efficiency and economy in the conduct of Agency record operations will be promoted through the application of appropriate record systems, practices, and devices pertaining to filing, processing of mail, reproduction of records, posting and recording operations, and communications.

### 17. RESPONSIBILITIES

a. The Chief, Management Staff, is responsible for:

- (1) Conducting studies of recognized records systems in order to determine possible applications in the Agency and, in collaboration with other appropriate technicians act as record systems advisor in connection with the selection, installation and utilization of such systems.
- (2) Promote record systems applications through the development and dissemination of guides illustrating techniques and devices for solving record problems.
- (3) Conducting surveys of record problems in collaboration with appropriate representatives of affected Agency components in order to recommend more efficient systems and devices.

b. The DD/I, the DD/P and the DD/S or their designees, are responsible for continuing reviews of record operations to assure performance in the most efficient and economical manner, and for requesting technical assistance from the Chief, Management Staff, in the study of suspected problem areas.

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STAT

REGULATION

NO.

R -   
MANAGEMENT PROGRAMS  
Draft 6-9-55

STAT

STAT

### VITAL MATERIALS

#### 21. POLICIES

The Vital Materials Program shall be governed by the following policies:

- a. An area wide appraisal of vital material requirements shall be made at least annually to assure the addition or elimination of record series based on current conditions and emergency objectives.
- b. Offices of origin shall be responsible for depositing material vital to the emergency operations of their own or other offices. Duplication of such deposits by using offices will be avoided except when specifically justified.
- c. Records classified as vital materials or copies of such records shall be transferred to the Repository in a secure manner and on a timely basis.
- d. Records in the Repository will be maintained in a manner consistent with the requirements for their emergency use.

#### 22. RESPONSIBILITIES

- a. The Chief, Management Staff, is responsible for:
  - (1) Developing, maintaining publications covering guides and procedures for the selection, reproduction, transfer, maintenance, use and inventorying and accounting for vital materials.
  - (2) Coordinating trips to the Repository to effect the deposit and withdrawal of Vital Materials and the visit of authorized personnel.
- b. The Deputy Director Plans, Deputy Director Intelligence and Deputy Director Support or their designees are responsible for the selection and timely transfer of vital materials to the Repository and for providing adequate instructions for their maintenance at the Repository.
  - (1) Periodically program appraisal;
  - (2) Selection and timely transfer of vital materials to the Repository; and
  - (3) Providing adequate inspection for maintenance of vital materials at the Repository.

REGULATION

NO.

R   
MANAGEMENT PROGRAMS  
Draft 6-9-55

- e. The Custodian of the Repository is responsible for storing and maintaining vital materials.